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PATENT

4-2-02

Attorney Docket No.:1604-381

J1017 U.S. PTO
10/053679
01/21/02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of:

SMITH

Serial No.: Not yet assigned

Filed: Herewith

Atty. File No.: 1604-381

For: "ON-AXIS LASER RECEIVER
WAVELENGTH DEMULTIPLEXER
WITH INTEGRAL IMMERSION LENSED
DETECTORS"

Group Art Unit:

Examiner:

INFORMATION DISCLOSURE STATEMENT

"EXPRESS MAIL" MAILING LABEL NUMBER: EL 767781413 US
DATE OF DEPOSIT: January 21, 2002

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING DEPOSITED
WITH THE UNITED STATES POSTAL SERVICE "EXPRESS MAIL POST
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DATE INDICATED ABOVE AND IS ADDRESSED TO THE ASSISTANT
COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231.

TYPED OR PRINTED NAME: Angela P. Davis

SIGNATURE:

Assistant Commissioner for Patents
Washington, D. C. 20231

Sir:

The references cited on attached Form PTO-1449 are being called to the attention of the Examiner. Copies
of the cited references:

☒ Are enclosed herewith.

☐ Are not enclosed, in accordance with 37 C.F.R. 1.98(d), because the references were submitted to
the U.S. Patent and Trademark Office in prior application Serial No. _____, titled _____, and
having a filing date of _____, which is relied upon for an earlier filing date under 35 U.S.C. § 120

☐ To the best of applicants' belief, the pertinence of the foreign-language references are believed to
be summarized in the attached English abstracts and in the figures, although applicants do not necessarily vouch for the
accuracy of the translation.

☐ Examiner's attention is drawn to the following co-pending applications: Serial Nos. _____.

Submission of the above information is not intended as an admission that any item is citable under the
statutes or rules to support a rejection, that any item disclosed represents analogous art, or that those skilled in the art
would refer to or recognize the pertinence of any reference without the benefit of hindsight, nor should an inference be
drawn as to the pertinence of the references based on the order in which they are presented. Submission of this
statement should not be taken as an indication that a search has been conducted, or that no better art exists.

It is respectfully requested that the cited information be expressly considered during the prosecution of this
application and the references made of record therein.

FEES

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|-------------------------------------|---|
| <input checked="" type="checkbox"/> | <p>No fee is believed due in connection with this submission, because the information disclosure statement submitted herewith is being filed:</p> <p style="padding-left: 40px;"><input checked="" type="checkbox"/> within three months of the filing date of the application or date of entry into the national stage of an international application or</p> <p style="padding-left: 40px;"><input type="checkbox"/> before the mailing date of a first Office Action on the merits, whichever occurs last. 37 C.F.R. 1.97(b).</p> <p>Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 19-1970.</p> |
| <input type="checkbox"/> | <p>The information disclosure statement transmitted herewith is being filed after three months of the filing date of this national application or the date of entry of the national stage as set forth in 37 C.F.R. 1.491 in an international application or after the mailing date of the first Office action on the merits, whichever occurred last but before the mailing date of either:</p> <p style="padding-left: 40px;">(1) a final action under 37 C.F.R. 1.113 or</p> <p style="padding-left: 40px;">(2) a notice of allowance under 37 C.F.R. 1.311, whichever occurs first. This Information Disclosure Statement is accompanied by:</p> <p style="padding-left: 40px;"><input type="checkbox"/> A Certification (below) as specified by 37 C.F.R. 1.97(e). Although no fee is believed due, if any fee is deemed due in connection with this submission, please charge such fee to Deposit Account 19-1970.</p> <p style="text-align: center;">OR</p> <p style="padding-left: 40px;"><input type="checkbox"/> A check in the amount of \$180.00 for the fee set forth in 37 C.F.R. 1.17(p) for submission of an information disclosure statement. Please credit any overpayment or charge any underpayment to Deposit Account No. 19-1970.</p> |
| <input type="checkbox"/> | <p>This Information Disclosure Statement is being submitted after the mailing date of a final action under §1.113 or a notice of allowance under § 1.311, but before payment of the issue fee.</p> <p style="padding-left: 40px;"><input type="checkbox"/> This information Disclosure Statement includes a Certification (below) as specified by 37 C.F.R. 1.97(e)</p> <p style="text-align: center;">AND</p> <p style="padding-left: 40px;"><input type="checkbox"/> Applicants hereby petition for consideration of the references disclosed herein. Enclosed is a petition fee in the amount of \$130.00 under 37 C.F.R. 1.17(i)(1). Please credit any overpayment or charge any underpayment to Deposit Account No. 19-1970.</p> |
| <input type="checkbox"/> | <p>Applicant elects to pay the fee set forth in 37 C.F.R. 1.17(p) for submission of an information disclosure statement, and the enclosed check includes \$240.00 for payment of such fee. Please credit any overpayment or charge any underpayment to Deposit Account No. 19-1970. Election to pay the fee should not be taken as an indication that applicant(s) cannot execute a certification.</p> |

Certification (37 C.F.R. 1.97(e))
(Applicable only if checked)

☐ The undersigned certifies that:

☐ Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(1).

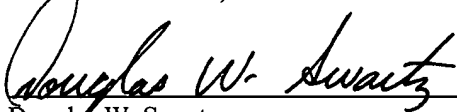
☐ A copy of the communication from the foreign patent office is enclosed.

OR

☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or to the knowledge of the undersigned after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than three months prior to the filing of this statement. 37 C.F.R. 1.97(e)(2).

Respectfully submitted,

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1560 Broadway, Suite 1200

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Jan. 21, 2002
Date

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303-863-9700

FAX: 303-863-0223

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| FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary) | ATTY. DOCKET NO. 1604-381 | SERIAL NO. Not yet assigned |
| | APPLICANT SMITH | |
| | FILING DATE Herewith | GROUP ART |

J1017 U.S. PTO
 10/05/99
 10/05/99

U.S. PATENT DOCUMENTS

| *EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE IF APPROP. |
|----------------------|----|--------------------|----------|------------------------|-------|--------------|---------------------------|
| | AA | 6,114,688 | 09/05/00 | Tanaka, et al. | 250 | 216 | |
| | AB | 6,043,918 | 03/28/00 | Bozzay, et al. | 359 | 172 | |
| | AC | 6,012,854 | 01/11/00 | Kyoya | 385 | 88 | |
| | AD | 5,978,121 | 11/02/99 | Fischer, et al. | 359 | 156 | |
| | AE | 5,959,752 | 09/28/99 | Ota | 359 | 152 | |
| | AF | 5,909,299 | 06/01/99 | Sheldon, Jr., et al. | 359 | 172 | |
| | AG | 5,872,621 | 2/16/99 | Wilkerson et al. | 356 | 28.5 | |
| | AH | 5,818,614 | 10/06/98 | Nicolas, et al. | 359 | 7 | |
| | AI | 5,757,523 | 05/26/98 | Wood, et al. | 359 | 15 | |
| | AJ | 5,726,786 | 03/10/98 | Heflinger | 359 | 152 | |
| | AK | 5,691,989 | 11/25/97 | Rakuljic, et al. | 372 | 20 | |
| | AL | 5,691,830 | 11/25/97 | Dickson, et al. | 359 | 15 | |
| | AM | 5,685,505 | 11/11/97 | Meckler | 244 | 169 | |
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| | AO | 5,610,733 | 03/11/97 | Feldman, et al. | 359 | 9 | |
| | AP | 5,545,896 | 8/13/96 | Bratt, et al. | 250 | 338.4 | |
| | AQ | 5,331,621 | 07/19/94 | Miyake, et al. | 369 | 112 | |
| | AR | 5,530,565 | 06/25/96 | Owen | 359 | 15 | |
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| | AU | 5,248,884 | 09/28/93 | Brewitt-Taylor, et al. | 250 | 338.4 | |

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| EXAMINER | DATE CONSIDERED |
| *EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. | |

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| | APPLICANT SMITH | |
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|--|----|-----------|----------|--------------------|-----|--------|--|
| | AV | 5,229,593 | 07/20/93 | Cato | 250 | 205 | |
| | AW | 5,227,859 | 7/13/93 | Leib, et al. | 556 | 347. | |
| | AX | 5,206,499 | 4/27/93 | Mantravadi, et al. | 250 | 203.6 | |
| | AY | 5,153,670 | 10/06/92 | Jannson, et al. | 356 | 301 | |
| | AZ | 5,078,499 | 01/07/92 | LaMarche | 359 | 19 | |
| | BA | 4,909,612 | 03/20/90 | Scerbak, et al. | 330 | 375 | |
| | BB | 4,810,047 | 05/07/89 | Pernick | 350 | 3.72 | |
| | BC | 4,797,179 | 01/10/89 | Watson | 156 | 647 | |
| | BD | 4,783,134 | 11/08/88 | Hara, et al. | 350 | 3.64 | |
| | BE | 4,643,519 | 02/17/87 | Bussard, et al. | 350 | 96.19 | |
| | BF | 4,636,631 | 01/13/87 | Carpentier, et al. | 250 | 216 | |
| | BG | 4,629,892 | 12/16/86 | Carmichael, et al. | 250 | 353 | |
| | BH | 4,547,037 | 10/15/85 | Case | 350 | 3.75 | |
| | BI | 4,490,981 | 01/01/85 | Meckler | 60 | 641.15 | |
| | BJ | 4,455,061 | 06/19/86 | Case | 350 | 3.75 | |
| | BK | 4,214,807 | 07/29/80 | Gfeller, et al. | 350 | 3.73 | |
| | BL | 3,923,400 | 12/2/75 | Hardy | 356 | 107 | |
| | BM | 3,746,427 | 07/17/73 | Foster | 350 | 161 | |
| | BN | 3,239,675 | 03/08/66 | Morey, et al. | 250 | 211 | |
| | BO | 3,161,772 | 12/15/64 | Merlen | 250 | 83.3 | |
| | BP | 2,964,636 | 12/13/60 | Cary | 250 | 211 | |
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| | APPLICANT SMITH | |
| | FILING DATE Herewith | GROUP ART |

FOREIGN PATENT DOCUMENTS

| | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB CLASS | TRANSLATION | |
|--|----|--------------------|----------|---------|-------|--------------|-------------|----|
| | | | | | | | YES | NO |
| | BQ | WO 00/79690 A2 | 12/28/00 | PCT | | | | |
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